PTO/SB/21 (08-03) Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Application Number 10/652,008 TRANSMITTAL Filing Date August 28, 2003 **FORM** First Named Inventor Kevin M. Tresenriter (to be used for all correspondence after initial filing) Art Unit 3624 **Examiner Name** Not Yet Assigned Total Number of Pages in This Submission Attorney Docket Number 412327 ENCLOSURES (check all that apply) Fee Transmittal Form Drawing(s) Appeal Communication to Board of Fee Attached Licensing-related Papers Appeals and Interferences Petition Amendment / Reply (Appeal Notice, Brief, Reply Brief) Petition to Convert to a After Final Proprietary Information Provisional Application Power of Attorney, Revocation Affidavits/declaration(s) Status Letter Change of Correspondence Address __ Terminal Disclaimer Other Enclosure(s) Extension of Time Request (please identify below): Form PTO 1449 Request for Refund Express Abandonment Request **Certificate of Mailing** CD, Number of CD(s) **Return Post Card** Information Disclosure Statement Certified Copy of Priority Remarks Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT James M. Stipek Individual name Signature Date February 17, 2004 **CERTIFICATE OF MAILING**

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Wendy Precht

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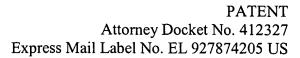
Date February 17, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.





		SS MAIL" (37 CFR 1.10)	Matter No.
Applicant(s): Kevin	M. Tresenriter		412327
Serial No.	Filing Date	Examiner	Group Art Unit
10/652,008	August 28, 2003	Not Yet Assigned	3624
nvention: System	and Method for Making Tra	ades	
hereby certify that thi	s Transmittal Form (1 page):	; Information Disclosure Stateme	nt (2 pages): Form PT
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Commissioner for 1 are.	ins, 1.0. Box 1430, Alexand	ria, VA 22313-1450 on this 17th	day of February, 2004
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

	Applicant(s)	Kevin	M. Tresenriter	Examiner	Not Yet Assigned
	Serial No.	10/652	2,008	Group Art No.	3624
	Filed	Augus	t 28, 2003		
2	For	System	n and Method for Making Trades		
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	Commissione P.O. Box 145 Alexandria, V	0			
			INFORMATION DISCLOSURE	STATEMENT	
	Dear Sir:				
	This Informat	ion Dis	closure Statement is submitted:		
	X	(Within t	37 CFR 1.97(b), or hree months of filing national application, or date of er ion on the merits, whichever occurs last)	ntry of national application, o	or before mailing date of first
		under □ □	37 CFR 1.97(c) together with either Statement under 37 CFR 1.97(e), o a \$180 fee under 37 CFR 1.17(p), c (After the CFR 1.97(b) time period, but before final statements of the control of	r or	e, which ever occurs first)
		under □ □	37 CFR 1.97(d) together with a: Statement under 37 CFR 1.97(e)(1) a \$180.00 fee set forth in 37 CFR 1 (Filed after final action, a notice of allowance, on or	.17(p).	
	are aware, wh	iich app	Applicant(s) submit herewith Form copies of patents, publications or or licant(s) believe(s) may be material that be a duty to disclose in accordance.	ther information of to the examination	which applicant(s) of the application
	patents or U.S information o	S. public f which on of th	This Application was filed after Jurorm PTO 1449 – Information Disclostations, but includes copies of foreign Applicant(s) is/are aware, which application and for which there may	sure Citation withon patents, publication patents, publication (s) believe(s)	ut copies of U.S. ons or other) may be material to
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as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counter part foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith

It is requested that the information disclosed herein be made of record in this application

Respectfully submitted,

LATHROP & GAGE LLC

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2345 Grand Boulevard, Suite 2300

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Tel No: 816/460-5848 Fax No: 816/292-2001

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 1

Complete if Known				
Application Number	10/652,008			
Filing Date	August 28, 2003			
First Named Inventor	Kevin M. Tresenriter			
Art Unit	3624			
Examiner Name	Not Yet Assigned			
Attorney Docket Number	412327			

	U.S. PATENT DOCUMENTS					
Examiner	Cite	Document Number	Issue/Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant	
Initials * No.		Number - Kind Code ² (if known)	MM-DD-YYYY	Cited Document	Passages or Relevant Figures Appear	
		US-6,370,516	04-09-2002	Reese		
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		US- 6,317,728	11-13-2001	Kane		
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	FOREIGN PATENT DOCUMENTS						
Examiner Cite No.1	Cito	Foreign Patent Document		Name of Patentee or	Pages, Columns, Lines,	T ₆	
		Country Code ³ - Number ⁴ - Kind Code ⁵ (<i>if known</i>)	Publication Date MM-DD-YYYY	Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear		
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Examiner Signature	Date Considered		

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